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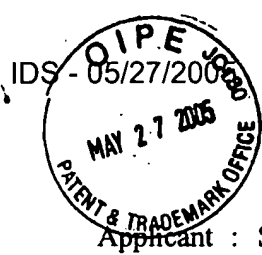MAY 27 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Stephen K. Pinto et al.   Art Unit   : 2121

Serial No. : 10/826,630   Examiner : Unknown

Filed   : April 16, 2004

Title   : PREDICTIVE MODEL GENERATION

MAIL STOP AMENDMENT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

More than a year before this patent application was filed, the assignee of the application

had used a modeling system in which (a) a general file structure could be used to link old models

to particular projects, (b) a method of multiple imputation was used to impute missing values, (c)

early approaches to variable splining and binning were used, (d) independent choices were made

by a model developer of largely traditional steps and methods to be included in a model, and (e)

multi-product models were used.

3/5/07

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 17146-007001		Application No. 10/826,630
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))				Applicant Stephen K. Pinto et al.		
				Filing Date April 16, 2004		Group Art Unit 2121

U.S. Patent Documents

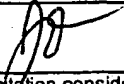| Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
JO	AA	6,430,539	08/06/2002	Lazarus et al.			
	AB	6,879,971	04/12/2005	Keeler et al.			
	AC	6,954,758	10/11/2005	O'Flaherty			
	AD	7,043,461	05/09/2006	Kedher et al.			
	AE	7,047,251	05/16/2006	Reed et al.			
	AF	2005/0096950	05/2005	Caplan et al.			
	AG	2003/0004777	01/2003	Phillips			
	AH	5,621,812	04/1997	Deaton et al.			
	AI	5,592,560	01/1997	Deaton et al.			
	AJ	5,583,763	12/1996	Atcheson et al.			
	AK						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes	Translation No
JO	AL	WO 02/19061	07/03/2002	WIPO				
	AM	WO 03/005232	16/01/2003	WIPO				
	AN	PCT/US05/11749	11/2/2006	Copy of PCT ISR				
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
JO	AQ	Harrison, H.C., "An Intelligent Business Forecasting System," ACM May 1993, pp. 229-236.
	AR	Haughton et al., "A Review of Software Packages for Data Mining," The American Statistician, November 2003, Vol. 57, No. 5, pp. 290-309.
	AS	Angus, Enterprise Miner 5.1 Digs Into Data, InforWorld, August 9, 2004, Vol. 26, No. 32, pp. 22-23.
	AT	Chapman et al., CRISP-DM 1.0 Step-by-Step Data Mining Guide, August 2000, pp. 27-31, 53-59, 71-79.

Examiner Signature	Date Considered 3/5/07

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
ℐᴼ	AU	Cabena et al., Intelligent Miner for Data Applications Guide, IBM Redbook, SG24-5252-00, March 1999, pp. 9-17, 27-35, 69-77, 87-108, 111-128.
	AV	Schikora et al., Efficacy of End-User Neural Network and Data Mining Software for Predicting Complex System Performance, International Journal of Production Economics, Vol. 84, pp. 231-53, June 2003.
	AW	Bhattacharyya , Evolutionary Algorithms in Data Mining: Multi-Objective Performance Modeling for Direct Marketing, Proceedings of the Sixth ACM SIGKDD International Conference on Knowledge Discovery and Data Mining, pp. 465-73, Aug. 2000.
	AX	Pearce et al., Experimentation and Self Learning in Continuous Database Marketing, IEEE International Conference on Data Mining, pp. 775-8, December 2002.
	AY	Etzion et al., e-CLV: A Modeling Approach for Customer Lifetime Evaluation In e-Commerce Domains, With an Application and Case Study for Online Auctions, IEEE International Conference on e-Technology, e-Commerce and e-Service, pp. 149-56, March 2004.

Examiner Signature	Date Considered 3/6/07

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Substitute Disclosure Form (PTO-1449)

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Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	JUL 17 2006	Applicant Stephen K. Pinto et al.	
		Filing Date April 16, 2004	Group Art Unit 2121

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
JO	AA	6,956,941	10/18/2005	Duncan et al.	379	265.01	
JO	AB	6,859,529	2/22/2005	Duncan et al.	279	266.1	
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes	No
JO	AL	2,241,119	2002/03/07	Canada	—			
	AM							
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AQ	
	AR	
	AS	
	AT	

Examiner Signature	Date Considered 3/5/07

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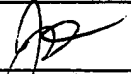## U.S. Patent Documents

| Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
JO	AA	5,692,107	11/25/1997	Simoudis et al.			
	AB	5,826,250	10/20/1998	Trefler			
	AC	6,185,543	02/06/2001	Galperin et al.			
	AD	6,269,325	07/31/2001	Lee et al.			
	AE	6,317,752	11/13/2001	Lee et al.			
	AF	6,640,215	10/28/2003	Galperin et al.			
	AG	6,542,894	04/01/2003	Lee et al.			
	AH	6,631,360	10/07/2003	Cook			
	AI	6,782,390	08/24/2004	Lee et al.			
	AJ	2002/0052836	05/02/2002	Galperin et al.			
	AK	2003/0018601	01/23/2003	Lee et al.			
	AL						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes	No
JO	AM	WO 99/22328	05/06/1999	WIPO				
	AN							
	AO							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	~~AP~~	~~Commercial software: SPSS Clementine: www/spss.com/Clementine/index.htm~~
~~	~~AQ~~	~~"On-line Seminar: How to keep customers and increase profits using predictive analytics powered by Clementine". www spss com/spss/dir_cea_response/clementinewebinar/index.cfm?drcode=d1183~~
	~~AR~~	~~"SAS Enterprise Miner", www.sas.com/technologies/analytics/datamining/m~~
	~~AS~~	~~SAS JMP. www.jmp.com~~
JO	AT	Clifford C. Clogg, et al., "Multiple Imputation of Industry and Occupation Codes in Census Public-Use Samples Using Bayesian Logistic Regression", Journal of the American Statistical Association, Vol. 86, No. 413, pp. 68-78 (March 1991)

Examiner Signature	Date Considered 3/15/07

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Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
JO	BA	Roderick J.A. Little et al., Statistical Analysis with Missing Data (2nd Edition), John J. Wiley & Sons, Inc., (2002), pp. 19-22; 166-188; and 292-309.
JO	BB	Donald B. Rubin, "Using Empirical Bayes Techniques in the Law School Validity Studies", Journal of the American Statistical Association, Vol. 75, No. 372, pp. 801-816 (December 1980)
	BC	
	BD	

Examiner Signature	Date Considered 3/5/07

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